
USACE / NAVFAC / AFCEA UFGS-01330 (March 2001)

Preparing Actiity: NAVFAC

UNIFIED FACILITIES GUIDE SPECIFICATIONS

SECTION 01330

SUBMITTAL PROCEDURES

03/01

NOTE: This guide specification covers general procedures regarding submittals called for in other sections of the specifications.

Comments and suggestion on this specification are welcome and should be directed to the technical proponent of the specification. A listing of the technical proponents, including their organization designation and telephone number, is on the Internet.

Use of electronic communication is encouraged.

This guide specification includes tailoring options for USACE and NAVFAC requirements and for NAVFAC EFD and EFA regional requirements. Selection or deselection of a tailoring option will include or exclude that option in the section, but editing of the resulting section to fit the project is still required.

Brackets are used in the text to indicate designer choices or locations where text must be supplied by the designer.

PART 1 GENERAL

1.1 SUMMARY

1.1.1 Government-Furnished Information

NOTE: Create the submittal register from the project specification files, at the conclusion of the design. In SGML SPECSINTACT, choose "Submittal Register Program" from "Forms/Documents" pull-down menu. Local procedures must be responsive to the

requirement that the submittal register, required with the QA plan, is usually due from the contractor within 20 days after the Notice of Award.

NOTE: Include the bracketed text, invoking the use of the electronic database for submittals, in most projects. The alternative is a manually processed submittal register initially created from the Submittal Register Program, which may be appropriate for small projects.

Submittal register [database and submittal management program] will be delivered to the contractor, by contracting officer [on 3 1/2 inch disk]. Register [database] will have the following fields completed, to the extent that will be required by the Government during subsequent usage.

Column (c): Lists specification section in which submittal is required.

Column (d): Lists each submittal description (SD No. and type, e.g. SD-04 Drawings) required in each specification section.

Column (e): Lists one principal paragraph in specification section where a material or product is specified. This listing is only to facilitate locating submitted requirements. Do not consider entries in column (e) as limiting project requirements.

Column (f): Indicate approving authority for each submittal. A "G" indicates approval by contracting officer; a blank indicates approval by QC manager.

[The database and submittal management program will be extractable from the disk furnished to contractor, for operation on contractor's IBM compatible personal computer with 640kb RAM, a hard drive, and 3 1/2 inch high density floppy disk drive.]

1.2 DEFINITIONS

1.2.1 Submittal

Shop drawings, product data, samples, and administrative submittals presented for review and approval. Contract Clauses "FAR 52.236-5, Material and Workmanship," paragraph (b) and "FAR 52.236-21, Specifications and Drawings for Construction," paragraphs (d), (e), and (f) apply to all "submittals."

1.2.2 Types of Submittals

All submittals are classified as indicated in paragraph "Submittal Descriptions (SD)". Submittals also are grouped as follows:

- a. Shop drawings: As used in this section, drawings, schedules, diagrams, and other data prepared specifically for this contract, by contractor or through contractor by way of subcontractor, manufacturer, supplier, distributor, or other lower tier contractor, to illustrate portion of work.
- b. Product data: Preprinted material such as illustrations, standard schedules, performance charts, instructions, brochures, diagrams, manufacturer's descriptive literature, catalog data, and other data to illustrate portion of work, but not prepared exclusively for this contract.
- c. Samples: Physical examples of products, materials, equipment, assemblies, or workmanship that are physically identical to portion of work, illustrating portion of work or establishing standards for evaluating appearance of finished work or both.
- d. Administrative submittals: Data presented for reviews and approval to ensure that administrative requirements of project are adequately met but not to ensure directly that work is in accordance with design concept and in compliance with contract documents.

1.3 SUBMITTAL IDENTIFICATION (SD)

NOTE: Submittal categories (SD numbers and titles) listed in this paragraph are those that are included in the SPECSINTACT software. Submittal registers for projects using any or all of these submittal categories can be generated using the SPECSINTACT software. The Resident Management System (RMS) software can produce a submittal register using the SPECSINTACT submittal categories or additional categories as may be required.

Submittal categories are for convenience in identifying submittals required, and the titles used are reasonably self-explanatory. Detailed category definitions are not necessary for the designer or the Contractor and could conflict with requirements specified in other sections.

Submittal categories are listed in this paragraph to facilitate the production of the Submittal Verification Results report generated with the SPECSINTACT software. This report is available from the job print menu and the master print menu. One of the functions of this report is to list as a discrepancy any submittal category that differs from those in this paragraph.

The Submittal Reconciliation function of SPECSINTACT is available from the job print menu. This function will automatically delete any submittal category

from this list which is not used in the job. Not all of the categories listed in this paragraph are included in CEGS guide specifications, but this does not interfere with the Submittal Reconciliation function.

Submittals required are identified by SD numbers and titles as follows:

NOTE: The SD numbers and names, assigned by the SPECSINTACT Configuration, Control and Coordinating Board, relate to the terminology of the technical sections and should not be changed.

SD-01 Preconstruction Submittals

Certificates of insurance.
Surety bonds.
List of proposed subcontractors.
List of proposed products.
Construction Progress Schedule.
Submittal schedule.
Schedule of values.
Health and safety plan.
Work plan.
Quality control plan.
Environmental protection plan.

SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the contractor for integrating the product or system into the project.

Drawings prepared by or for the contractor to show how multiple systems and interdisciplinary work will be coordinated.

SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating size, physical appearance and other characteristics of materials or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or

product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies which are to be incorporated into the project and those which will be removed at conclusion of the work.

SD-05 Design Data

Calculations, mix designs, analyses or other data pertaining to a part of work.

SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accord with specified requirements. (Testing must have been within three years of date of contract award for the project.)

Report which includes findings of a test required to be performed by the contractor on an actual portion of the work or prototype prepared for the project before shipment to job site.

Report which includes finding of a test made at the job site or on sample taken from the job site, on portion of work during or after installation.

Investigation reports

Daily checklists

Final acceptance test and operational test procedure

SD-07 Certificates

Statements signed by responsible officials of manufacturer of product, system or material attesting that product, system or material meets specification requirements. Must be dated after award of project contract and clearly name the project.

Document required of Contractor, or of a supplier, installer or subcontractor through Contractor, the purpose of which is to further quality of orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel qualifications.

Confined space entry permits.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and Material Safety Data sheets concerning impedances, hazards and safety precautions.

SD-09 Manufacturer's Field Reports

Documentation of the testing and verification actions taken by manufacturer's representative to confirm compliance with manufacturer's standards or instructions.

Factory test reports.

SD-10 Operation and Maintenance Data

Data intended to be incorporated in operations and maintenance manuals.

SD-11 Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

As-built drawings.

Special warranties.

Posted operating instructions.

Training plan.

1.3.1 Approving Authority

Person authorized to approve submittal.

1.3.2 Work

As used in this section, on- and off-site construction required by contract documents, including labor necessary to produce construction and materials, products, equipment, and systems incorporated or to be incorporated in such construction.

1.4 SUBMITTALS

NOTE: The "G," in SGML submittal tags following the submittal item indicates Government approval and should be retained. Add "G" in submittal tags following any added submittals that are determined to require Government approvals. Submittal items not designated with a "G" will be approved by the QC organization.

Submit the following in accordance with the requirements of this section.

SD-01 Preconstruction Submittals

Submittal register; G

1.5 USE OF SUBMITTAL REGISTER [DATABASE]

NOTE: Include the bracketed text, invoking the use of the electronic database for submittals, in most projects. The alternative is a manually processed submittal register initially created from the Submittal Register Program, which may be appropriate for small projects.

Prepare and maintain submittal register, as the work progresses.[Use electronic submittal register program furnished by the Government or any other format.] Do not change data which is output in columns (c), (d), (e), and (f) as delivered by government; retain data which is output in columns (a), (g), (h), and (i) as approved.

1.5.1 Submittal Register

NOTE: Include the bracketed text, invoking the use of the electronic database for submittals, in most projects. The alternative is a manually processed submittal register initially created from the Submittal Register Program, which may be appropriate for small projects.

Submit submittal register[as an electronic database, using submittals management program furnished to contractor]. Submit with quality control plan and project schedule required by Section 01450A, "Quality Control" and [Section 01321N, "Network Analysis Schedules."] [Section 01320N, "Construction Progress Documentation."] Do not change data in columns (c), (d), (e), and (f) as delivered by the government. Verify that all submittals required for project are listed and add missing submittals. Complete the following on the register[database]:

Column (a) Activity Number: Activity number from the project schedule.

Column (g) Contractor Submit Date: Scheduled date for approving authority to receive submittals.

Column (h) Contractor Approval Date: Date contractor needs approval of submittal.

Column (i) Contractor Material: Date that contractor needs material delivered to contractor control.

1.5.2 Contractor Use of Submittal Register

Update the following fields[in the government-furnished submittal register program or equivalent fields in program utilized by contractor].

Column (b) Transmittal Number: Contractor assigned list of consecutive numbers.

Column (j) Action Code (k): Date of action used to record contractor's review when forwarding submittals to QC.

Column (l) List date of submittal transmission.

Column (q) List date approval received.

1.5.3 Approving Authority Use of Submittal Register

Update the following fields[in the government-furnished submittal register program or equivalent fields in program utilized by contractor].

Column (b).

Column (l) List date of submittal receipt.

Column (m) through (p).

Column (q) List date returned to contractor.

1.5.4 Contractor Action Code and Action Code

Entries used will be as follows (others may be prescribed by Transmittal Form):

NR - Not Received

AN - Approved as noted

A - Approved

RR - Disapproved, Revise, and Resubmit

1.5.5 Copies Delivered to the Government

NOTE: Include the bracketed text, invoking the use of the electronic database for submittals, in most projects. The alternative is a manually processed submittal register initially created from the Submittal Register Program, which may be appropriate for small projects.

Deliver one copy of submitted register updated by contractor to government with each invoice request. [Deliver in electronic format, unless a paper copy is requested by contracting officer.]

1.6 PROCEDURES FOR SUBMITTALS

1.6.1 Reviewing, Certifying, Approving Authority

QC organization shall be responsible for reviewing and certifying that submittals are in compliance with contract requirements. Approving authority on submittals is QC manager unless otherwise specified for specific submittal. At each "Submittal" paragraph in individual specification sections, a notation "G," following a submittal item, indicates contracting officer is approving authority for that submittal item.

1.6.2 Constraints

- a. Submittals listed or specified in this contract shall conform to provisions of this section, unless explicitly stated otherwise.
- b. Submittals shall be complete for each definable feature of work; components of definable feature interrelated as a system shall be submitted at same time.
- c. When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals, submittal will be returned without review.
- d. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

1.6.3 Scheduling

- a. Coordinate scheduling, sequencing, preparing and processing of submittals with performance of work so that work will not be delayed by submittal processing. Allow for potential requirements to resubmit.
- b. Except as specified otherwise, allow review period, beginning with receipt by approving authority, that includes at least [15] [_____] working days for submittals for QC manager approval and [20] [_____] working days for submittals for contracting officer approval. Period of review for submittals with contracting officer approval begins when Government receives submittal from QC organization. Period of review for each resubmittal is the same as for initial submittal.

NOTE: At bracket, use 30 working days for projects estimated to require 180 or more calendar days to construct. For projects requiring less than 180 calendar days to complete, use at least 20 working days.

- c. For submittals requiring review by fire protection engineer, allow review period, beginning when government receives submittal from

QC organization, of [30] [_____] working days for return of submittal to the contractor. Period of review for each resubmittal is the same as for initial submittal.

1.6.4 Variations

Variations from contract requirements require Government approval pursuant to contract Clause entitled "FAR 52.236-21, Specifications and Drawings for Construction" and will be considered where advantageous to government.

1.6.4.1 Considering Variations

Discussion with contracting officer prior to submission, will help ensure functional and quality requirements are met and minimize rejections and resubmittals. When contemplating a variation which results in lower cost, consider submission of the variation as a Value Engineering Change Proposal (VECP).

1.6.4.2 Proposing Variations

When proposing variation, deliver written request to the contracting officer, with documentation of the nature and features of the variation and why the variation is desirable and beneficial to government. If lower cost is a benefit, also include an estimate of the cost saving. In addition to documentation required for variation, include the submittals required for the item. Clearly mark the proposed variation in all documentation.

1.6.4.3 Warranting That Variations Are Compatible

When delivering a variation for approval, contractor warrants that this contract has been reviewed to establish that the variation, if incorporated, will be compatible with other elements of work.

1.6.4.4 Review Schedule Is Modified

**NOTE: Allow a longer additional review period if
the construction phase will have geographically
scattered reviewers.**

In addition to normal submittal review period, a period of [10] [_____] working days will be allowed for consideration by the Government of submittals with variations.

1.6.5 Contractor's Responsibilities

- a. Determine and verify field measurements, materials, field construction criteria; review each submittal; and check and coordinate each submittal with requirements of the work and contract documents.
- b. Transmit submittals to QC organization in accordance with schedule

on approved Submittal Register, and to prevent delays in the work, delays to government, or delays to separate contractors.

- c. Advise contracting officer of variation, as required by paragraph entitled "Variations."
- d. Correct and resubmit submittal as directed by approving authority.
When resubmitting disapproved transmittals or transmittals noted for resubmittal, the contractor shall provide copy of that previously submitted transmittal including all reviewer comments for use by approving authority. Direct specific attention in writing or on resubmitted submittal, to revisions not requested by approving authority on previous submissions.
- e. Furnish additional copies of submittal when requested by contracting officer, to a limit of 20 copies per submittal.
- f. Complete work which must be accomplished as basis of a submittal in time to allow submittal to occur as scheduled.
- g. Ensure no work has begun until submittals for that work have been returned as "approved," or "approved as noted", except to the extent that a portion of work must be accomplished as basis of submittal.

1.6.6 QC Organization Responsibilities

- a. Note date on which submittal was received from contractor on each submittal.
- b. Review each submittal; and check and coordinate each submittal with requirements of work and contract documents.
- c. Review submittals for conformance with project design concepts and compliance with contract documents.
- d. Act on submittals, determining appropriate action based on QC organization's review of submittal.
 - (1) When QC manager is approving authority, take appropriate action on submittal from the possible actions defined in paragraph entitled, "Actions Possible."
 - (2) When contracting officer is approving authority or when variation has been proposed, forward submittal to Government with certifying statement or return submittal marked "not reviewed" or "revise and resubmit" as appropriate. The QC organization's review of submittal determines appropriate action.
- e. Ensure that material is clearly legible.
- f. Stamp each sheet of each submittal with QC certifying statement or approving statement, except that data submitted in bound volume or on one sheet printed on two sides may be stamped on the front of

the first sheet only.

(1) When approving authority is contracting officer, QC organization will certify submittals forwarded to contracting officer with the following certifying statement:

"I hereby certify that the (equipment) (material) (article) shown and marked in this submittal is that proposed to be incorporated with contract Number [____], is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is submitted for Government approval.

Certified by Submittal Reviewer _____, Date _____
(Signature when applicable)

Certified by QC manager _____, Date _____"
(Signature)

(2) When approving authority is QC manager, QC manager will use the following approval statement when returning submittals to contractor as "Approved" or "Approved as Noted."

"I hereby certify that the (material) (equipment) (article) shown and marked in this submittal and proposed to be incorporated with contract Number [____], is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is _____ approved for use.

Certified by Submittal Reviewer _____, Date _____
(Signature when applicable)

Approved by QC manager _____, Date _____"
(Signature)

- g. Sign certifying statement or approval statement. The person signing certifying statements shall be QC organization member designated in the approved QC plan. The signatures shall be in original ink. Stamped signatures are not acceptable.
- h. Update submittal register [database] as submittal actions occur and maintain the submittal register at project site until final acceptance of all work by contracting officer.
- i. Retain a copy of approved submittals at project site, including contractor's copy of approved samples.

1.6.7 Government's Responsibilities

When approving authority is contracting Officer, the Government will:

- a. Note date on which submittal was received from QC manager, on each submittal for which the contracting officer is approving authority.
- b. Review submittals for approval within scheduling period specified

and only for conformance with project design concepts and compliance with contract documents.

- c. Identify returned submittals with one of the actions defined in paragraph entitled "Actions Possible" and with markings appropriate for action indicated.

1.6.8 Actions Possible

Submittals will be returned with one of the following notations:

- a. Submittals marked "not reviewed" will indicate submittal has been previously reviewed and approved, is not required, does not have evidence of being reviewed and approved by contractor, or is not complete. A submittal marked "not reviewed" will be returned with an explanation of the reason it is not reviewed. Resubmit submittals returned for lack of review by contractor or for being incomplete, with appropriate action, coordination, or change.
- b. Submittals marked "approved" "approved as submitted" authorize contractor to proceed with work covered.
- c. Submittals marked "approved as noted" or "approval except as noted; resubmission not required" authorize contractor to proceed with work as noted provided contractor takes no exception to the notations.
- d. Submittals marked "revise and resubmit" or "disapproved" indicate submittal is incomplete or does not comply with design concept or requirements of the contract documents and shall be resubmitted with appropriate changes. No work shall proceed for this item until resubmittal is approved.

1.7 FORMAT OF SUBMITTALS

1.7.1 Transmittal Form

Transmit each submittal, except sample installations and sample panels, to office of approving authority. Transmit submittals with transmittal form prescribed by contracting officer and standard for project. The transmittal form shall identify contractor, indicate date of submittal, and include information prescribed by transmittal form and required in paragraph entitled "Identifying Submittals." Process transmittal forms to record actions regarding sample panels and sample installations.

1.7.2 Identifying Submittals

Identify submittals, except sample panel and sample installation, with the following information permanently adhered to or noted on each separate component of each submittal and noted on transmittal form. Mark each copy of each submittal identically, with the following:

- a. Project title and location.

- b. Construction contract number.
- c. Section number of the specification section by which submittal is required.
- d. Submittal description (SD) number of each component of submittal.
- e. When a resubmission, add alphabetic suffix on submittal description, for example, SD-10A, to indicate resubmission.
- f. Name, address, and telephone number of subcontractor, supplier, manufacturer and any other second tier contractor associated with submittal.
- g. Product identification and location in project.

1.7.3 Format for Product Data

- a. Present product data submittals for each section as a complete, bound volume. Include table of contents, listing page and catalog item numbers for product data.
- b. Indicate, by prominent notation, each product which is being submitted; indicate specification section number and paragraph number to which it pertains.
- c. Supplement product data with material prepared for project to satisfy submittal requirements for which product data does not exist. Identify this material as developed specifically for project.
- d. Provide product data in metric dimensions. Where product data are included in preprinted catalogues with inch-pound units only, submit metric dimensions on separate sheet.

1.7.4 Format for Shop Drawings

- a. Shop drawings shall not be less than A4 (297 by 210 mm) 8 1/2 by 11 inches nor more than AO (1189 by 841 mm) 30 by 42 inches.
- b. Present A4 (297 by 210 mm) 8 1/2 by 11 inches sized shop drawings as part of the bound volume for submittals required by section. Present larger drawings in sets.
- c. Include on each drawing the drawing title, number, date, and revision numbers and dates, in addition to information required in paragraph entitled "Identifying Submittals."
- d. Dimension drawings, except diagrams and schematic drawings; prepare drawings demonstrating interface with other trades to scale. Shop drawing dimensions shall be the same unit of measure as indicated on the contract drawings. Identify materials and products for work shown.

1.7.5 Format of Samples

- a. Furnish samples in sizes below, unless otherwise specified or unless the manufacturer has prepackaged samples of approximately same size as specified:
 - (1) Sample of Equipment or Device: Full size.
 - (2) Sample of Materials Less Than 50 by 75 mm 2 by 3 inches:
Built up to A4 (297 by 210 mm) 8 1/2 by 11 inches.
 - (3) Sample of Materials Exceeding A4 (297 by 210 mm) 8 1/2 by 11 inches: Cut down to A4 (297 by 210 mm) 8 1/2 by 11 inches and adequate to indicate color, texture, and material variations.
 - (4) Sample of Linear Devices or Materials: 250 mm 10 inch length or length to be supplied, if less than 250 mm 10 inches. Examples of linear devices or materials are conduit and handrails.
 - (5) Sample of Non-Solid Materials: 750 ml Pint. Examples of non-solid materials are sand and paint.
 - (6) Color Selection Samples: 50 by 100 mm 2 by 4 inches.
 - (7) Sample Panel: 1200 by 1200 mm 4 by 4 feet.
 - (8) Sample Installation: 10 square meters 100 square feet.
- b. Samples Showing Range of Variation: Where variations are unavoidable due to nature of the materials, submit sets of samples of not less than three units showing extremes and middle of range.
- c. Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples shall be in undamaged condition at time of use.
- d. Recording of Sample Installation: Note and preserve the notation of area constituting sample installation but remove notation at final clean up of project.

**NOTE: To avoid unnecessary effort by the
contractor, use the following paragraph only when
there is no color board prepared during design.**

- e. When color, texture or pattern is specified by naming a particular manufacturer and style, include one sample of that manufacturer and style, for comparison.

1.7.6 Format of Administrative Submittals

- a. When submittal includes a document which is to be used in project or become part of project record, other than as a submittal, do

not apply contractor's approval stamp to document, but to a separate sheet accompanying document.

- b. Operation and Maintenance Manual Data: Submit in accordance with Section 01781N, "Operation and Maintenance Data." Include components required in that section and the various technical sections.
- c. Provide all dimensions in administrative submittals in metric. Where data are included in preprinted material with inch-pound units only, submit metric dimensions on separate sheet.

1.8 QUANTITY OF SUBMITTALS

NOTE: The quantities suggested below are consistent with the quantities to be retained by the Government, in paragraphs entitled "QC Organization Responsibilities" and "Government Responsibilities;" maintain the coordination.

1.8.1 Number of Copies of Product Data

NOTE: Verify with the contracting officer the number of submittals required; normally "six" for Quality Control Manager approval and "seven" for contracting officer approval.

NOTE: For LANTNAVFACENGCOM projects which are MILCON or NAF funded, require five copies for QC approved product data and eight copies for Contracting Officer approved product data. For projects with other funding sources, require three copies of QC approved product data and six copies for contracting officer approved product data. Include last bracketed sentence.

- a. Submit [six] [_____] copies of submittals of product data requiring review and approval only by QC organization and [seven] [_____] copies of product data requiring review and approval by contracting officer. [Submit three copies of submittals of product data for operation and maintenance manuals.]

1.8.2 Number of Copies of Shop Drawings

Submit shop drawings in compliance with quantity requirements specified for product data.

1.8.3 Number of Samples

NOTE: For LANTNAVFACENGCOM, require one sample in paragraph a and delete the second sentence of paragraph a.

- a. Submit [two] [_____] samples, or [two] [_____] sets of samples showing range of variation, of each required item. One approved sample or set of samples will be retained by approving authority and one will be returned to contractor.
- b. Submit one sample panel. Include components listed in technical section or as directed.
- c. Submit one sample installation, where directed.
- d. Submit one sample of non-solid materials.

1.8.4 Number of Copies of Administrative Submittals

- a. Unless otherwise specified, submit administrative submittals compliance with quantity requirements specified for product data.
- b. Submit administrative submittals required under "SD-10 Operation and Maintenance Data" to conform to Section 01781N, "Operation and Maintenance Data."

1.9 FORWARDING SUBMITTALS

NOTE: Use this article and the following paragraphs only in LANTNAFVFACENGCOM Division projects. In the following paragraphs select only the applicable information in brackets. On A/E projects, the A/E should insert the firm name in the spaces shown, unless it is known that the A/E will not be checking samples and other submittals, including shop drawings and product data.

1.9.1 Samples Required of the Contractor

Submit samples to [Commander, LANTNAVFACENGCOM, 1510 Gilbert Street, Norfolk, Virginia 23511-2699] [Architect-Engineer: [_____] ,].

1.9.2 Shop Drawings, Product Data, and O&M Data

As soon as practicable after award of contract, and before procurement of fabrication, submit, except as specified otherwise, to the [Commander, LANTNAVFACENGCOM, Code CI4A1, 1510 Gilbert Street, Norfolk, Virginia, 23511-2699] [Architect-Engineer: [_____] ,] the shop drawings, product data and O&M Data required in the technical sections of this specification. [The Architect-Engineer for this project] [LANTNAVFACENGCOM] will review and

provide surveillance for the Contracting Officer to determine if Contractor-approved submittals comply with the contract requirements, and will review and approve for the Contracting Officer those submittals not permitted to be Contractor approved to determine if submittals comply with the contract requirements. One copy of the transmittal form for submittals shall be forwarded to the Resident Officer in Charge of Construction

[1.9.2.1 Submittals Reserved for LANTNAVFACENGCOM Approval

NOTE: Include this optional paragraph for all projects designed by Architect-Engineer consulting firms. Fill in the appropriate specification section numbers and titles for the respective products.

As an exception to the standard submittal procedure, submit the following to the Commander, LANTNAVFACENGCOM, Code CI4A1, 1510 Gilbert Street, Norfolk, Virginia 23511-2699:

- [a. Section [____], "[____]": Pile driving recrods]
- [b. Section [____], "[____]": All fire protection system submittals]
- [c. Section [____], "[____]": All fire alarm system submittals]
- [d. Section 15901, "Space Temperature Control Systems": SD-12 field test reports]
- [e. Section 15910, "Direct Digital Control Systems": SD-12 field test reports]
- [f. Section 15950, "HVAC Testing/Adjusting/Balancing": All submittals]
- [g. Section 15951, "Testing Industrial Ventilation Systems": All submittals]
- [h. Section 16272, "Three-Phase Pad Mounted Transformers": All submittals]
- [i. Section 16273, "Single-Phase Pad Mounted Transformers": All submittals]
- [j. Section 16301, "Overhead Transmission and Distribution": Transformer submittals]
- [k. Section 16360, "Secondary Unit Substations": Transformer submittals]
- [l. Section 16361, "Primary Unit Substations": Transformer submittals]

] [1.9.2.2 Overseas Shop Drawing Submittals

NOTE: For use on overseas jobs only.

All submittals shall be sent via overnight express mail service. All costs associated with the overnight express mail service shall be borne by the construction contractor. Costs associated with the overnight express mail of submittals related to proposed submittal variances of resubmittals necessary as a result of noncompliant or incomplete contractor submittals shall be the responsibility of the contractor.

1.10 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

1.10.1 Government Approved

Government approval is required for extensions of design, critical materials, deviations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings."

1.10.2 Information Only

All submittals not requiring Government approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

1.11 APPROVED SUBMITTALS

The Contracting Officer's approval of submittals shall not be construed as a complete check, but will indicate only that the general method of construction, materials, detailing and other information are satisfactory. Approval will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the Contractor Quality Control (CQC) requirements of this contract is responsible for dimensions, the design of adequate connections and details, and the satisfactory construction of all work. After submittals have been approved by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

1.12 DISAPPROVED SUBMITTALS

The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Contract Clause "Changes" shall be given promptly to the Contracting Officer.

1.13 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

1.14 GENERAL

The Contractor shall make submittals as required by the specifications. The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections. Units of weights and measures used on all submittals shall be the same as those used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. Prior to submittal, all items shall be checked and approved by the Contractor's Quality Control (CQC) System Manager and each item shall be stamped, signed, and dated by the CQC System Manager indicating action taken. Proposed deviations from the contract requirements shall be clearly identified. Submittals shall include items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals. Submittals requiring Government approval shall be scheduled and made prior to the acquisition of the material or equipment covered thereby. Samples remaining upon completion of the work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

1.15 SUBMITTAL REGISTER

NOTE: Delete the last sentence of the paragraph if the Contractor will not be required by the contract to use the RMS-QC system. It may not be necessary or beneficial to use the RMS-QC in small, simple, short duration contracts/delivery orders for construction, or for other contracts where its use would not be in the best interest of the Government.

A submittal register or a submittal list is not a part of this guide specification; a register or listing must be developed locally for each project.

When creating a new section not covered by guide specifications, the following guidelines must be followed.

1. The submittal paragraph must be in PART 1 and entitled "1.x SUBMITTALS" ("x" represents any main paragraph number).

2. Each submittal category (SD-## Title) used must be identified in the submittal paragraph and surrounded by a set of submittal tags.

3. Items requiring a submittal are listed below the submittal categories (SD-## Title) surrounded by a set of submittal tags. If the submittal item is repeated elsewhere in a paragraph outside the submittal paragraph and that paragraph establishes the requirements for the item, the item should be tagged in the paragraph title or the paragraph text so that the paragraph number will appear on the submittal register. Tagging of the item in the paragraph title should be the first choice.

4. Submittal Classifications:

a. Government approved is required for submittals with a "G" designation. All submittals not requiring Government approval will be for information only. The "G" Submittal Classification can only appear in the submittal paragraph and must be included within a separate set of submittal tags immediately following the submittal item.

b. A Reviewer designation should be used anytime the "G" designation is used. The Reviewer is designated by inserting an identifier of three characters or less (e.g. "AE") immediately following the "G" designation. The identifier must be separated from the "G" designation by a space, comma, pipe symbol or dash (a comma and a space are used in CEGS guide specifications). The "G" and the reviewer designation should be included within the same set of submittal tags.

When the submittal register is generated, SPECSINTACT software searches by section for the submittal paragraph within Part 1. Next it will search for submittal tags within the paragraph and within the section and place the information on the submittal register. Submittal registers generated through the RMS software utilize the submittal file generated by the SPECSINTACT software.

At the end of this section is a submittal [register] [list] showing items of equipment and materials for which submittals are required by the specifications; this list may not be all inclusive and additional submittals may be required. The Contractor shall maintain a submittal register for the project in accordance with Section 01312 RESIDENT MANAGEMENT SYSTEM (RMS).

1.16 SCHEDULING

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. Certifications to be submitted with the pertinent drawings

shall be so scheduled. Adequate time (a minimum of [_____] calendar days exclusive of mailing time) shall be allowed and shown on the register for review and approval. No delay damages or time extensions will be allowed for time lost in late submittals. An additional [_____] calendar days shall be allowed and shown on the register for review and approval of submittals for [food service equipment] [and] [refrigeration and HVAC control systems].

1.17 TRANSMITTAL FORM (ENG FORM 4025)

NOTE: ENG Form 4025 is not a part of this guide specification; the sample ENG Form 4025 must be added to this section locally. If the Contractor is required to use the RMS-QC software for the contract, that system included an electronic version of ENG Form 4025.

The sample transmittal form (ENG Form 4025) attached to this section shall be used for submitting both Government approved and information only submittals in accordance with the instructions on the reverse side of the form. These forms [will be furnished to the Contractor][are included in the RMS-QC software that the Contractor is required to use for this contract]. This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. Special care shall be exercised to ensure proper listing of the specification paragraph and/or sheet number of the contract drawings pertinent to the data submitted for each item.

1.18 SUBMITTAL PROCEDURES

Submittals shall be made as follows:

1.18.1 Procedures

NOTE: Add applicable procedures, including where to be submitted and number of copies required.

[_____]

1.18.2 Deviations

For submittals which include proposed deviations requested by the Contractor, the column "variation" of ENG Form 4025 shall be checked. The Contractor shall set forth in writing the reason for any deviations and annotate such deviations on the submittal. The Government reserves the right to rescind inadvertent approval of submittals containing unnoted deviations.

1.19 CONTROL OF SUBMITTALS

The Contractor shall carefully control his procurement operations to ensure that each individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register."

1.20 GOVERNMENT APPROVED SUBMITTALS

Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. [_____] copies of the submittal will be retained by the Contracting Officer and [_____] copies of the submittal will be returned to the Contractor.

1.21 INFORMATION ONLY SUBMITTALS

Normally submittals for information only will not be returned. Approval of the Contracting Officer is not required on information only submittals. The Government reserves the right to require the Contractor to resubmit any item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Government laboratory or for check testing by the Government in those instances where the technical specifications so prescribe.

1.22 STAMPS

Stamps used by the Contractor on the submittal data to certify that the submittal meets contract requirements shall be similar to the following:

<div>CONTRACTOR</div> <div>(Firm Name)</div> <div><div>_____ Approved</div><div>_____ Approved with corrections as noted on submittal data and/or attached sheets(s).</div><div>SIGNATURE: _____</div><div>TITLE: _____</div><div>DATE: _____</div></div>

PART 2 PRODUCTS

Not used.

PART 3 EXECUTION

Not used.

-- End of Section --